

**FRATERNAL SOCIETIES**

**COMPANY NAME:** \_\_\_\_\_ **NAIC Company Code:** \_\_\_\_\_  
**Contact:** \_\_\_\_\_ **Telephone:** \_\_\_\_\_  
**REQUIRED FILINGS IN THE STATE OF:** Arkansas **Filings Made During the Year 2003**

(1) Check -list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE* *	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2"x14")	2	1	1	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	1	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	0	xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2"x 14")	2	1	xxx	3/1	NAIC	If applicable to your company
		<b>II. NAIC SUPPLEMENTS</b>						
	10	Accident & Health Policy Experience Exhibit	2	1	xxx	4/1	NAIC	
	11	Interest Sensitive Life Insurance Products Report	2	1	xxx	4/1	NAIC	
	12	Investment Risk Interrogatories	2	1	xxx	4/1	NAIC	
	13	Long Term Care Experience Reporting Forms	2	1	xxx	4/1	NAIC	
	14	Long Term Care Insurance Exhibit	2	1	xxx	3/1	NAIC	
	15	Management Discussion & Analysis	2	1	xxx	4/1	Company	
	16	Medicare Supplement Insurance Experience Exhibit	2	1	xxx	3/1	NAIC	
	17	Risk-Based Capital Report	2	1	xxx	3/1	NAIC	
	18	Statement of Actuarial Opinion	2	1	xxx	3/1	Company	
	19	Statement on non-guaranteed elements – Exhibit 5 Interr. #12	2	1	xxx	3/1	Company	
	20	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	21	Supplement to Valuation Report	2	1	xxx	6/30	NAIC	
	22	SVO Compliance Certification	2	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	23	Trusted Surplus Statement	2	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	32	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	33	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	34	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	35	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	36	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>						
	51	Accountants Letter of Qualifications	2	N/A	N/A		Company	
	52	Audited Financial Statements	2	1	xxx	6/1	Company	
	53	Audited Financial Statements Exemption Affidavit	2	N/A	N/A		Company	
	54	Independent CPA	2	N/A	N/A		Company	
	55	Notification of Adverse Financial Condition	2	N/A	N/A		Company	
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A		Company	
	57	Request for Exemption to File	2	N/A	N/A		Company	

		<b>V. STATE REQUIRED FILINGS</b>						
	101	Certificate of Compliance	N/A	0	1		State	
	102	Certificate of Deposit- (Due on 3/1- Send under separate cover to the Attention of Malisa Landers, Securities Administrator, Arkansas Insurance Dept., 1200 West Third Street, Little Rock, AR 72201-1904) For questions, call 501-371-2679.						
	103	Certificate of Valuation	N/A	N/a	xxx		State	
	104	Filings Checklist (with Column 1 completed)	1	1	1		State	
	105	Premium tax (Forms can be found on the Accounting Division Web Page, Send all Premium Tax Forms and questions directly to that Division) Phone# 501-371-2605						
	106	State Filing Fees (All of these fees are included on the premium tax forms. No fees or checks should be sent with the financial statement filings)						
	107							
	108							

**\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.**

**\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	A	Required Filings Contact Person:	Kimberly Johnson Arkansas Insurance Dept 1200 West Third Street Little Rock, AR 72201-1904 501-371-2680, fx 501-371-2747 Kimberly.Johnson@mail.state.ar.us
	B	Mailing Address:	Arkansas Insurance Dept Attn: Finance Division 1200 West Third Street Little Rock, AR 72201-1904
	C	Mailing Address for Filing Fees:	Arkansas Insurance Dept Attn: Accounting Division 1200 West Third Street Little Rock, AR 72201-1904
	D	Mailing Address for Premium Tax Payments:	Arkansas Insurance Dept Attn: Accounting Division 1200 West Third Street Little Rock, AR 72201-1904
	E	Delivery Instructions:	All filings must be physically received at our Department, no later than the indicated due date.
	F	Late Filings:	Companies will be fined \$100 per day for a late filing.
	G	Original Signatures:	Original signatures on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC Annual Stmt Instructions.
	H	Signature/Notarization/Certification:	The following officers are required to sign the annual statement: CEO; President, Treasurer.
	I	Amended Filings:	Insurer must file amended items within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing; same should be followed for any amendment.
	J	Exceptions from normal filings:  All Requests should be forwarded to the attention of Leo Y. Liu, Manager of Financial Analysis, Finance Division	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date to receive such from Arkansas. Domestic companies should apply at least 30 days prior to the due date.
	K	Bar Codes (State or NAIC)	Please use the instructions in the NAIC Annual Stmt Instructions.
	L	Affidavit of Filing and Financial Statement Attestation	N/A
	M	NONE Filings:	See NAIC Annual Stmt Instructions
	N	Filings new, discontinued or modified materially since last year:	Certificate of Deposit- (Due on 3/1- Send

			under separate cover to the Attention of Malisa Landers, Securities Administrator, Arkansas Insurance Dept., 1200 West Third Street, Little Rock, AR 72201-1904) For questions, call 501-371-2679. In the past, this was sent in the annual statement.
			The Premium Tax forms should be sent under separate cover to our Accounting Division, not with the Annual Financial Statement as these filings go to different areas of our Department.
			Foreign Companies do not have to file a quarterly financial statement or the SVO on a quarterly basis in Arkansas.

**General Instructions  
For Companies to Use Checklist**

**Please Note:** This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

**Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.**

**Column (1) (Checklist)**

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

**Column (2) (Line #)**

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

**Column (3) (Required Filings)**

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is .pdf files for annual statement data, detail for investment schedules, Officers and Directors Information and supplements due March 1.

The ***Separate Accounts Electronic Filing*** includes the separate accounts annual statement and investment schedule detail.

The ***Separate Accounts .PDF Filing*** is the .pdf file for the separate accounts annual statement and investment schedule detail.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental .PDF Filing*** is the .pdf file for all supplements due April 1.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

**Column (4) (Number of Copies)**

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (E) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

**Column (5) (Due Date)**

Indicates the date on which the company must file the form.

**Column (6) (Form Source)**

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions

(generally, on its website). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

**Column (7)      (Applicable Notes)**

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.